



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/928,109	08/10/2001	Thomas R. Goodwin	21162-015

CONFIRMATION NO. 6279

## FORMALITIES LETTER



\*OC000000006580600\*

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GLOVSKY and POPEO, P.C.  
One Financial Center  
Boston, MA 02111

Date Mailed: 09/20/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

8/12/2001 CVDORACHA 60100002 INTZ101

01 FD1205

*A copy of this notice **MUST** be returned with the reply.*

Initial Patent Examination Division (703) 308-1202

Year	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100
1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	

Express Mail No.: EL862127961US  
Date of Deposit: November 13, 2001

12- 10-01

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**ATTORNEY'S DOCKET NO: 21162-015**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Thomas R. Goodwin, et al.  
Serial No: 09/928,109  
Filed: August 10, 2001  
For: SYSTEM AND METHOD FOR TRADING AND ORIGINATING  
FINANCIAL PRODUCTS USING A COMPUTER NETWORK  
Examiner: Not Yet Assigned  
Art Unit: 2161

**Box MISSING PARTS**

Commissioner for Patents and Trademarks  
Washington, D.C. 20231

Sir: TRANSMITTAL LETTER

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. Response to Notice to File Missing Parts of Nonprovisional Application;
2. Executed Combined Declaration and Power of Attorney with check in the amount of \$65.00 (#10591) for Declaration surcharge fee;
3. Letter to the Official Draftsman, with formal drawings in compliance with 37 CFR 1.84, consisting of 33 sheets of Figures 1-30;
4. Copy of Notice to File Missing Parts of Nonprovisional Application (Part 2); and
5. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-0311, Reference 21162-015.  
A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,



**30623**  
PATENT TRADEMARK OFFICE

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Date: November 13, 2001